



Guidelines for Implementing and Monitoring

ANTI-CORRUPTION COLLECTIVE ACTIONS



Global Compact
Network Brazil



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These Guidelines were developed by the Global Compact Network Brazil within the scope of the Advisory Board on Collective Actions of the Action Against Corruption Platform. Its main objective is to provide guidelines for projects of anti-corruption collective actions. It intends to be an educational and awareness-raising tool, contributing to the fight against corruption and promoting the improvement of the business environment in Brazil.

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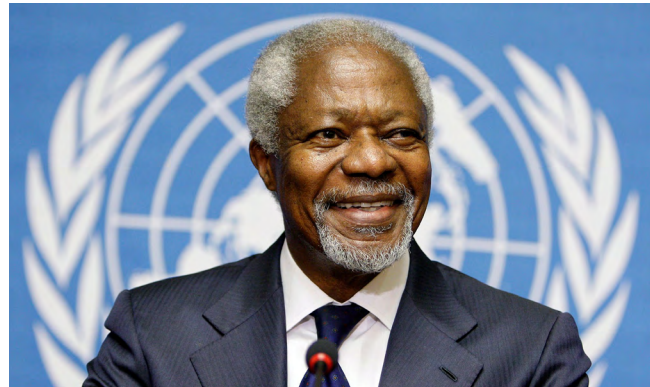
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About the Global Compact

Launched in 2000 by the former Secretary-General of the United Nations, Kofi Annan, the Global Compact is a call for companies to align their strategies and operations with 10 universal principles in the areas of Human Rights, Labor, Environment and Anti-corruption, and with the Sustainable Development Goals (SDG). It is now the world's largest corporate sustainability initiative, with more than 16,000 members in nearly 80 local networks spanning 160 countries.



Established in 2003, the Global Compact Network Brazil has gained a relevant space within the Brazilian business sector. It is the third largest network in the world, with over 1,300 members, and the fastest growing network in the world in 2021.

Since 2020, the Global Compact Network Brazil operates through an independent non-profit organization as several other local networks do around the globe. The subject matters developed by the Global Compact Brazil Network are the following: Water and Sanitation, Sustainable Agriculture, Climate and Energy, Human Rights and Labor, Anti-Corruption, Engagement and Communication. More than 30 initiatives and projects are currently developed by each of these action platforms with the cooperation of hundreds of companies, as well as UN and governmental agencies.

About the Action Against Corruption Platform

The Action Against Corruption Platform has 107 organizations, among large companies, SMEs, NGOs, UN and governmental agencies. It is a space to promote learnings and trainings, constructive and open dialogues and best practices exchange to better understand corruption risks and mitigation strategies in the fight against corruption. Moreover, to engage the most vulnerable



sectors of the market, it carries our Anti-corruption Collective Actions engaging companies and organizations to raise the level of sectorial standards. Tools of knowledge are developed to enhance internal compliance and governance standards as well as transparency and integrity strategies.

I. INTRODUCTION

One of the greatest challenges faced by companies and organizations that are involved in anti-corruption collective actions is the ability to successfully manage its implementation and monitor its activities and commitments to ensure the achievement of high-impact results. An effective management guarantees not only good quality results, but also the initiative's sustainability.

To contribute to the achievement of these objectives, the Global Compact Network Brazil, through the Collective Actions Advisory Board, prepared these Guidelines for Implementing and Monitoring Anti-Corruption Collective Actions.

This publication is the result of the dialogues and discussions carried out by the Collective Actions Advisory Board throughout 2021 and aims to present general guidelines to support the implementation and monitoring of Anti-Corruption Collective Actions. However, such guidelines shall not replace internal understandings made within the scope of each collective action, which shall be free to take its own decisions and workplans.

The Collective Actions Advisory Board reunites anti-corruption renowned professionals in Brazil, among others, some of the country's most admired Compliance Officers and academic, civil society and public sector leaders. Its role is to provide insight on how to improve anti-corruption collective actions to better respond to the Brazilian scenario.

Meet the **Advisory Board** members.

The Guidelines complement the recently released Global Compact publication, **“Juntos contra a Corrupção: Um Manual da Ação Coletiva Anticorrupção”** [Together Against Corruption: A Handbook for Anti-Corruption Collective Action].

For more information on the Anti-Corruption Collective Actions developed by the Global Compact Network Brazil, visit the website:

<https://www.pactoglobal.org.br/pg/acoescoletivas>.

II. THE GUIDELINES

The Guidelines aim to better approach the main challenges faced by Anti-Corruption Collective Actions and contribute to the achievement of the expected results.

Its methodology consisted of 5 Advisory Board meetings, held in 2021, with in-depth interviews with all its members, and interviews held with 9 representatives of 7 different anti-corruption collective actions in Brazil. Therefore, the challenges addressed in these Guidelines are based on the context and experience of such advisors and representatives.

The Guidelines reflects procedures that were discussed and validated by the Advisory Board on how companies and organizations can better apply and coordinate their efforts in collective action's context. An adequate management allows the initiative to overcome main implementation and monitoring challenges and represent a driving force to a more ethical and transparent market.

Companies and organizations may use this publication as a practical guidance to better choose the path through which an anti-corruption collective action may achieve effective results. For such, they shall establish an implementation plan and evaluate monitoring indicators to assess the effectiveness of its workplan.

The target audience of these Guidelines is companies and organizations invested in promoting anti-corruption collective actions in their economic sectors or industries, as well as professionals who work or intend to work with this type of action.

III. GUIDELINES FOR STARTING

In 2020, the Advisory Board developed a Protocol to **Start Anti-Corruption Collective Actions** containing the first steps to create an Anti-Corruption Collective Action with the Global Compact Network Brazil. The Protocolo is available online on the **Global Compact Network Brazil webpage**.



IV. GUIDELINES FOR IMPLEMENTATION

The implementation phase is a big challenge faced by members of an Anti-Corruption Collective Action. Apart from the difficulty in the implementation itself, where members must leave theory behind and engage in execution, some of the decisions made during this phase are key to achieve goals and define high-impact initiatives for the sector.

During the interviews with the members of anti-corruption collective actions in Brazil, some common implementation challenges were identified:

1

VALUE GENERATION

A great challenge in the implementation of a collective action is to clearly present its benefits to its members, which is key to their engagement and commitment to the activities and to the financial investments required by the high-impact results of the initiative.

2

FUNDRAISING

Members of a collective action find it hard to obtain the needed financial resources to carry out its initiatives.

3

SPOKESPERSONS

The spokesperson for the collective action must be elected and authorized by the group and need to follow the rules from the communication plan.

4

CONFLICT OF INTEREST

Lack of transparency may lead to potential conflict of interest within a collective action. Companies that use their economic and institutional leverage to influence other members or benefit their own private interests in lieu of the collective action can cause great damage to its initiatives.

5

TOP MANAGEMENT

Top management of company members of a collective action that are not truly engaged or committed to the expected results of the initiative.

6

PARTICIPATION FORMALIZATION

Top management of company members of a collective action that refuse to formalize their participation in the initiative.

7

FACILITATOR'S ROLE

The lack of clarity and definition on the role, rights and responsibilities of the facilitating organization and the members of a collective action can cause problems and conflicts among the parties resulting in lack of engagement and commitment of its members and failure in the execution of activities.

8

SENSITIVE TOPICS

Some companies may resist to address sensitive topics that may be necessary to achieve certain objectives of the collective action. The wrong approach to sensitive topics may lead to complacent initiatives or cause companies to leave the initiative which negatively impact its results.

9

GOVERNANCE

Lack of governance rules may negatively impact the execution of the collective action's initiatives. Liability procedures shall also be established for non-compliance situations. Clear governance rules are crucial for the success of a collective action and avoid members that use the initiative for corporate marketing purposes.

10

SCENARIO

A proper diagnosis of the scenario and the current context of the economic sector in the country is necessary to avoid institutional and reputational problems.

11

NON-COMPETE

The Advisory Board recommended that collective actions follow non-compete and free market rules and principles as members may exchange sensitive commercial information such as pricing, marketing strategies, production numbers and customers data.

These challenges were analyzed by the Advisory Board and resulted in the following **guidelines for the implementation of collective actions:**

External scenario

- Before implementing an anti-corruption collective action, it is important to assess the sector’s context regarding corruption matters:

1. Map existing initiatives as well as their achieved results and challenges faced;
2. Identify the sector’s main stakeholders and the positive and negative potential impact the collective action could raise in short, medium, and long-term scenarios.

- Use such considerations to implement or not the collective action. In case of implementation, use the information to develop a strategy and starting points.

Develop an action plan

- As recommended by the Protocol, the collective action must adopt a workplan with objective criteria to guide the initiative’s value generation;
- It is advisable that the action plan development is guided by the collective action’s facilitator in coordination with the initiative’s stakeholders, in order to establish a solid and comprehensive value proposition that is accepted by all parties involved;
- All knowledge generated by the collective action shall be documented through reports, minutes and presentations that may be easily accessed by the parties to facilitated knowledge transfer.

The Anti-Corruption Collective Actions developed by the Global Compact adopt the following action plan / roadmap:

- 1 Executive Summary
- 2 Scenario
- 3 Rationale / business case: Why this collective action?
- 4 Objectives of Collective Action
- 5 SWOT Analysis (not mandatory)
- 6 Risk assessment with mitigation
- 7 Facilitation and Facilitator’s role
- 8 Potential participants
- 9 Potential partners and sponsors
- 10 Budget
- 11 Project management (Communication Plan)
- 12 Expected Results and Impact

Sector's corruption risk assessment

- Identifying the industry's greatest corruption vulnerabilities is key to establishing effective mitigation actions;
- The **Corruption Risk Assessment Guide** (in Portuguese) of the Global Compact describes the steps for implementing a corruption risk assessment;
- The risk assessment must include mitigation actions as well as damage control mechanisms when corruption situations are identified;
- Risk assessment is key to determine high-impact initiatives. An effective risk assessment leads to optimization of resources for such high-impact initiatives.



Generate value

- Clearly identify the "pains" and "problems" affecting the sector and respective stakeholders, as well as provide reasons for such issues
- Prove that the implementation of the collective action is directly related to solving such problems and clearly demonstrate the benefits that shall be perceived by all stakeholders in case the initiative is successful;
- Clarify the short, medium and long-term goals of the collective action, correlating them with the benefits that shall be perceived by the stakeholders and the sector;
- Clearly demonstrate which sponsors should invest in the initiative (including work time by the company's representatives) and relate them to the expected benefits.

Addressing conflict of interest

- Define conflict of interest situations for the initiative, mitigation actions, appropriate non-compliance liabilities and a decision-maker for the subject;
- Facilitators should be trained in mitigating and resolving conflicts of interest;
- Remember that the collective action is an educational process – not every company understands the benefits of self-regulation and collective action, the facilitator has the responsibility to address such issues when needed;
- Exchange best practices on the subject with other collective actions, including main challenges and solutions, generating collective knowledge;
- Clear disclaimers of conflict of interest shall be raised to the collective action facilitator who shall then take action to mitigate and avoid such conflict in the future;
- Liability measures shall be adopted in case of breaches of the collective action's principles considering the gravity and recurrence of violations.

Establishing Working Groups

- Establishing voluntary working groups with collective action members is highly recommended and has achieved great results. The working groups have their own agenda, workplan and objectives. Their evolution must be evaluated and approved by the collective action;
- Governance, communication, engagement, training and knowledge management are a few topics that can be developed by the working groups within a collective action;
- A collective action should have, at least, 2 working groups: governance and communication (described in detail below). The criteria for establishing other working groups shall be defined by the collective action in line with its objectives;
- It is advisable that each working groups has a coordinator.

GOVERNANCE WG:

1. Propose the collective action's rules and commitments, conflict of interest and confidentiality policies, monitoring indicators and procedures, applicable sanctions and awards to be executed by all members;
2. The rules and commitments shall define the non-negotiable ethical conducts for the collective action;
3. Propose a mechanism to establish, investigate and enforce sanctioning measures within the scope of the collective action;
4. Define a compensation mechanism within the scope of the collective action.

COMMUNICATION WG:

1. Develop the communication plan as provided by in the Protocol, avoiding the dominance of a company or small group of companies in the communication process, providing appropriate measures in case of violations (warning, suspension, exclusion);
2. Stress the role of communication in line with transparency and accountability principles;
3. Develop rules to avoid misappropriation of the collective action's benefits and initiatives by any member company (inappropriate use of collective action logo);
4. Develop rules on how companies and organizations can promote the engagement with the collective action and sanction measures in case of violation (if a collective action is facilitated by the Global Compact, it is the official spokesperson for the initiative until it gains autonomy and independence).



Discuss funding from the start

- It is recommended that the collective action discuss fundraising issues from the beginning of the initiative in a clear and transparent manner to enable the participation of all members;
- Once the collective action has defined its activities and objectives, a budget and fundraising plan must be developed and approved by its members;
- It is necessary to consider the dynamic of the member's budgetary flow and availability, in addition to members financial situation (sustainability);
- The estimation of the initiative total costs must consider factual data and proposals, to avoid errors and lack of professionalism;
- Different benefits for members that do not financially support the collective action must be considered;
- Establish clear governance rules for the fundraising process, defining standardized contribution quotas and benefits;
- Develop a self-sufficient budgetary plan to avoid dependence on members and increases the risks of conflict of interest



Adopting an integration/ onboarding process

- Adopt a welcome process for new companies engaging in the collective action;
- The integration process shall start with the execution of a term of commitment to the collective action and a scheduling of a bilateral meeting with the facilitator;
- Provide new members with all collective action relevant information, such as governance rules, the role of each members and the initiative's facilitator.

Engaging top management

- The collective action must develop activities to engage top management, such as events for such target audience throughout the development of the initiative;
- Such activities shall be conducted by the collective action's facilitator and the events shall be of high national and international relevance and visibility, creating opportunities for good practices exchange, networking and engagement;
- The collective action may bilaterally engage with the top management of members that are reluctant to formally join the initiative to understand the challenges and propose solutions;
- All governance rules established by the collective action must be respected.

Rights and obligations

- Determine ways for the transparent and collaborative definition and disclosure of rights, obligations and interests of each participant in the Anti-Corruption Collective Action.

Adoption of non-compete practices

- Anti-corruption collective actions must be careful and avoid competition conducts. The initiative shall adopt a clear and predefined non-compete agenda.
- At the beginning of all collective action meetings, it is recommended that a non-compete disclaimer is reinforced in which members are required no to exchange information on pricing, sales, commercial proposals, profits, margins and business strategies that may harm or hinder free competition. If any member raises competition or sensitive commercial issues, the meeting shall be promptly interrupted and the representative shall withdraw from the meetings, which shall be recorded in the meeting's minutes;
- Moreover, it is a good practice to register all collective action's meetings in minutes to be shared with all members;
- The collective action may choose to have a lawyer attending the meeting to avoid any comment or actions that could be perceived as restrictive to free competition.

1. It is recommended that active methods be used for this activity, such as design thinking.
2. Facilitators may be responsible for addressing this activity.



V. MONITORING GUIDELINES

According to the **Global Compact**, the development of a monitoring system has the purpose of verifying if the initiative is achieving the proposed goals and if participants are complying with the obligations assumed. Monitoring structures will naturally adopt different configurations depending on the type of collective action.

In order to discuss Monitoring, it is necessary to consider the different roles within an Anti-Corruption Collective Action:

- **FACILITATOR** - a neutral third party that brings together all stakeholders, providing guidance and support to collective actions. The Global Compact Network Brazil currently acts as facilitator to anticorruption collective actions.
- **MONITOR** - an external and independent third party expert hired to evaluate the progress of the collective action and monitor the compliance of members to its principles and rules.

MONITORING SYSTEMS:

- **Internal mechanisms** self-assessment to provide internal feedback and report on the initiative's progress.

- **External monitoring:**

PROFESSIONAL: hiring of a third party professional organization or independent individual. This monitor will be responsible for supervising the collective action's process, exchange information, meet participants and examine documentation and other evidence on the activities implemented by the collective action to verify the compliance with its principles and rules; and

STAKEHOLDERS: disclosure of information, highlighting the indicators of internal monitoring and professional external monitoring. The recipients shall be the collective action's stakeholders and the economic sector (government agencies, customers, suppliers, etc.).

Motivated by the relevance of this phase, the Advisory Board members proposed specific guidelines to address the challenges of monitoring collective actions. It is up to the collective action members to define the forms of monitoring it should undergo (internal or external). The Advisory Board prepared guidelines for each case.

Foremost, it is up to the Collective Action members to define the type of monitoring they will undergo (whether internal or external). The Advisory board then elaborated minimum guidelines for cases in which the Collective Action opts for one path or another.



CHOOSING FORMAT

The definition of the monitoring format must be made by the members of the collective action, through its internal governance process, and shall rely on the initiative's maturity level.

INTERNAL MONITORING

If the collective action's members decide on adopting an internal monitoring process, it is recommended that they meet a minimum criteria established by the Advisory Board:

1st ACCOUNTABILITY

Implement an accountability process for the achievements of the goals of the initiative by sending activity reports or similar documents for the analysis and internal validation of the collective action.

2nd DEFINITION OF THE SCOPE OF INTERNAL MONITORING

Define what is the scope of the monitoring, its objectives and the measurement instruments to be adopted for an effective monitoring.

3rd DEFINITION OF THE REQUIRED INSTRUMENTS

Define the instruments required to achieve the goals of the initiative and the definition of a person, appointed by the members, responsible for the internal monitoring.

4th INDICATORS

Establish at least three indicators, such as:

i) Budget for the initiative and provision of services;

ii) Budget and schedule for the monitoring (plan versus execution); and

iii) Monitoring of the work hours dedicated to the collective action from the support team, member companies and advisors and consultants.

5th IMPACT PERCEPTION SURVEY

Conduct perception surveys of the integrity improvement in the business sector of the member companies of the collective action at the beginning of the initiative and after the completion of its deliveries to measure the progress of the anti-corruption collective action among the companies. The surveys should be carried out using digital tools that allow anonymity of respondents.

6th SELF-FINANCING PLAN

Develop a self-financing or financial independence plan to avoid potential conflicts of interest during the internal monitoring.



EXTERNAL MONITORING

If the initiative's members chose the external monitoring process (via monitor), it is recommended to meet the minimum criteria established by the Advisory Board:

1st DEFINITION OF THE EXTERNAL MONITORING SCOPE

Define what is expected from the external monitoring related to the goal, purpose and deliveries of the collective action.

2nd IDENTIFYING THE BEST MOMENT

Identify when the collective action should carry out external monitoring is critical to success. The ideal moment is when the initiative is mature in terms of complying with the rules of its governance, meeting the **Playbook** guidelines and carrying out its deliveries, in addition to having indicators adapted to fairly assess the maturity of companies of different sizes and profiles.

3rd HIRING AN EXTERNAL MONITOR

Make the necessary financial resources available for the remuneration of an external monitor for the collective action. Build funding (self-financing) for hiring the external monitor and take due care regarding potential conflicts of interest that may arise, such as, for example, hiring a monitor who

provides services to some of the members of the collective action.

4th STERN SELECTION PROCESS

Develop a rigorous selection process when hiring the monitor to guarantee the technical quality and the exemptions of the diagnosis performed.

5th NON-FULFILLMENT OF ASSUMED COMMITMENTS

Cases of members who are not fulfilling their commitments must be forwarded for analysis and adoption of appropriate measures by the collective action governance.

6th VALUE GENERATION THROUGH EXTERNAL MONITORING

Present the members the added value of an external monitoring that may be generated for themselves, for the collective action and for the Global Compact Network Brazil.

VI. GUIDELINES FOR TERMINATING THE IMPLEMENTATION OF A COLLECTIVE ACTION

This Guide, developed by the Advisory Board on Collective Actions, would not be complete without addressing the termination of the implementation. The facilitators are the ones that mediate conversations, debates and eventual voting between the parties involved, ensuring isonomy between the members and other public.

This chapter is addressing the many reasons that may lead to the termination of an implementation in accordance with the guidelines prepared by the members of the Advisory Board on Collective Actions to deal with the challenges of the termination of an implementation by the Global Compact Network Brazil. Its objective is to guarantee that the impact of the collective action deliveries is sustained and strengthened after this transition period.

PHASE I

When to terminate an implementation?

The decision to end the implementation of a collective action may occur for the reasons below:

- Fulfilment of the objectives of the collective action. The collective action is ready to move on its own and does no longer require the intermediation of the facilitator;
- Strategic reorientation due to:
 - Overall consideration of the performance (below expectations) of the collective action;
 - Significant reduction of members' engagement;
 - Change of the facilitator's strategic interests

When ongoing efforts have been made and the collective action's performance still does not meet the expectations – for which collective actions indicator's monitoring is mandatory² –, it might be right to terminate the facilitation. This termination may be lead by the facilitators or its members and it demands transparency and liability.

Previous planing

Encouraging moments of discussion and reflection regarding the termination of the implementation before its formalization may turn the process easier, as it is possible to evaluate how the initiative shall continue and what are the eventual risks for the interested parties.

For a successful termination of an implementation, it is necessary to think strategically and to be well prepared.

The recommendation is to establish a working group

to prepare the transition plan for the collective action (financial autonomy, establishment of a secretariat or management analysts for organizing meetings and management of the action's platform, websites and others, engaging work group leaders to follow on their action plans, electing a Board of Director or Steering Committee for the decision-making, priority and initiative planning, among others).

Establishing deadlines

It is important that collective actions follow a schedule for its activities – including the termination of its implementation – with deadlines based on a schedule approved and followed by all the parties involved in the initiative³. Although collective actions are used to planning long term activities, it is important to discuss a deadline for the facilitation and parties shall be prepared for this moment.

Engagement of the governance

It is important that the governance bodies of the involved parties dedicate their time and workforce to discuss the transition to successfully apply the transition plan during such period. When people are correctly involved, the decisions for terminating the implementation are easy and diligent; the lack of discussions on possible termination implications may generate conflicts.

It is important to mention that the termination of a collective action implementation does not affect just its members, its facilitators and institutional partners,

2. The Advisory Board has proposed indicators for the monitoring of the collective actions.

3. In most collective actions, the parties involved are member companies, companies from the supply chain, facilitators, class associations, regulating bodies, non-governmental organizations, institutional partners, among others.

but may also affect third parties and suppliers, class associations, governmental and non-governmental bodies. These parties do not often influence the decision-making process of the collective actions, but impact of the termination on their deliveries planned for such parties shall be considered.

Monitoring indicators to support the decision making

The facilitation of a collective action may also end due to the low performance of its activities and deliveries. In

these situations, it is advisable that the action plan and the monitoring indicators are revised. These commitments shall be used as parameters for the termination of the implementation due to the lack of fulfilment. It is important to consider not only the results raised by such indicators, but the reason why they were not fulfilled. External and independent evaluations are welcome for such monitoring. An evaluation combining indicators and the comments from the involved parties is precious.



PHASE II - Managing the process

Managing internal aspects

When deciding to end an implementation, a list of recommendation might be followed:

- Even if the collective action has an executed financing agreement (mostly external) for the facilitator, it is recommended the execution of an implementation termination agreement;
- It the collective action shall continue (without the facilitation of the Global Compact), it is recommended that a broad financial plan is developed, including positive and negative outcomes;
- Be transparent and open with all members: disclose all the plans (including, if necessary, the reduction of activities and deliveries) transparently and in advance;
- Create incentives to retain the most strategic involved parties (if the collective action shall continue without the facilitation);
- Adopt good practices of human resources considering, at least, respect, transparency, justice and predictability, including steps that help people to move forward.

Manage contrary positions for the termination

Having the participation of the relevant sectorial companies, as well as strategic acknowledged partners, is key for the achievement of a collective action's objectives, however, for the termination of an implementation, it might raise risks, specially when a member or partner does not agree with the termination. In this case, time and space for discussing the reasons for termination must be granted.

Dealing with documents

At the end of the facilitation of a collective action, the initiatives and deliveries documentation management must be addressed. These documents might include presentations, minutes of meetings, studies and research, events registry, governance documents, communication pieces, member's admission letters, among others. Other documents related to the termination of the implementation shall also be stored, good practice recommends that all decision-making process as well as the termination is documented.

PHASE III - Communication

Consistent communication in all forms

At the end of the facilitation, straightforward and clear communication is advised. The better the communication, the better the termination. It is advised to take advantage of all means of communication possible to inform the end of the collective action facilitation so that all parties involved in activities and deliveries receive the message. The communication can be made through the collective action's website, in case it has one, or by other electronic means and events and/or trainings that may happen in dates close to the ending the facilitation. A publication at the Global Compact's website is also advised.

Clear and assertive communication

At the end of the facilitation, it is necessary to emphasize how it shall be handled by all parties involved. Frequent communication is necessary, in different formats, so that no involved party is taken by surprise with the termination news.

Dislosing the evaluations

Evaluations based on monitoring indicators may help identify the deliveries and impacts caused the collective action. One suggestion is to set up of a digital platform where the monitoring indicators of the different initiatives may be disclosed and monitored by all involved parties.

PHASE IV - After the ending

Keep in touch with the former facilitator

After the ending of the facilitation process, the greatest challenge is to assure that the collective action is ready to move on independently and autonomously, if that is the intention of the involved parties. In some cases, the members of the collective action may wish to maintain a relationship with the former facilitator; in others the initiative may need to find other types of facilitations to attend its new management needs.

If the collective action wishes to stay connected with the former facilitator it is advisable that this new relationship is formalized through a memorandum of understanding or another document. The former facilitator may execute a couple of activities or participate in specific deliveries, not under the role of a facilitator, but as an institutional partner or even a hired third party. Upon agreement, the former facilitator may monitor the deliveries of the collective action for a determined period after the termination of the facilitation.

VII . MONITORING INDICATORS

One of the biggest managing challenges of Anti-Corruption Collective Action is monitoring its activities and evaluating the impacts of its deliveries. The Advisory Board on Collective Actions of the Action Against Corruption Platform of the Global Compact Network Brazil developed a series of indicators for the evaluation of collective actions workplans. The monitoring shall follow the development of the collective action and propose changes of course when needed. The monitoring shall be in line with the termination guidelines of a collective actions also mentioned in this guide. The indicators are based in the project "Scaling Collective Actions in Local Networks of the UN Global Compact" but are applicable to all collective actions facilitated by the UN Global Compact.

Project Scaling Collective Actions in Local Networks of the UN Global Compact

Action Against Corruption Platform Anti-Corruption Collective Actions Indicators							
Indicator	Details	Weight	Type	1 st Trimester	2 nd Trimester	3 rd Trimester	4 th Trimester
Number of members of the collective action	Raise the number of members of the collective action	10%	Goal	18	20	24	28
Participation (frequency) of companies in the collective action's meetings	Raise the participation of companies in the meetings	5	Goal	Reach at least 90% participation of companies in the monthly meetings			
Representative of the segments of the sector	Raise the economic representation of the collective action by members	5%	Goal	Reach at least half (50%) of the segments represented in the collective action (50% of the market)			
Top management participation (CEO/VP/ Director) of the member in the collective action events	Engage top management in events promoted by the collective action for such target audience	10%	Goal	Mobilization/participation of the top management of all companies of the collective action at least once a year			
Satisfaction evaluation with the collective action (NPS)	Raise the level of effectiveness of the collective action	5%	Goal	4,4			4,6
Evaluation of the concrete benefits generated by the collective action	Raise the concrete benefits generated by a collective action	10%	Goal	At least 3 concrete benefits mentioned by the participants at the end of the project			
Documentation prepared for the management and governance of the collective action	Enhance the management and governance of the collective action	5%	Goal	At least 4 governance documents prepared by the collective action			
Number of partner organizations of the collective action	Raise the number of partner organizations of the collective action	5%	Goal	5	8	12	12
Number of downloads of the publications prepared by the collective action	Raise the number of downloads of the publications prepared by the collective action	5%	Goal	100	100	200	200

Indicator	Details	Weight	Type	1 st Trimester	2 nd Trimester	3 rd Trimester	4 th Trimester
Number of members that mention activities related to the collective actions in their annual reports	Raise the disclosure of collective action activities in the annual reports of the members	10%	Goal	At least 3 companies			
Number of Tier 1 media vehicles that mention the collective action (Tier 1 are big audience and national and internationally relevant media vehicles)	Raise the disclosure of the collective action in Tier 1 media vehicles	5%	Goal	At least 6 citations			
Number of views of the collective action productions (Youtube videos and/or podcasts)	Raise the number of views of the collective action productions	5%	Goal	200	200	200	500
Percentage of answers from the companies (in the time of entry) of the level of knowledge about the concept of collective action research	Raise the number of answering companies in the research	5%	Goal	50% of answer from participants			
Percentage of answers from the companies (in the time of termination) the level of knowledge about the concept of collective action research	Raise the number of answering companies in the research	5%	Goal	80% of the participants answers			
Level of knowledge of the concept of collective action acquired by the members (entry and termination)	Raise the level of knowledge of the concept of collective action from the companies from the entry to the termination of the initiative	10%	Goal	High (Level 4)			
Final index	Achievement of all goals	100%					

The monitoring indicators developed also aim to give transparency to the activities and deliveries to all management of the collective action that, in case of the Global Compact Network Brazil, involves the Action Against Corruption Platform and the Advisory Board on Collective Actions.

In the chart below contains the indicators that may be used by the members of the Advisory Board to monitor their own activities as well as the ones for the Platform of related to the collective actions. We hope that by sharing these indicators, we inspire facilitating organizations to adopt transparency and self-monitoring good practices.

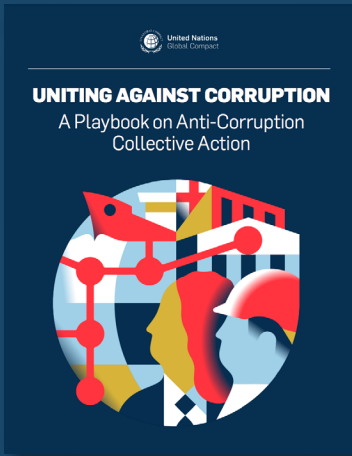
Project Scaling Collective Actions in Local Networks of the UN Global Compact

Advisory Board Indicators						
Indicator	Detail	Type	March	June	September	November
Participation in meetings	Raise the participation of Council members in meetings	Goal	70%	70%	70%	70%
Communication actions (social media posts / podcasts)	Raise the awareness of activities of the Advisory Board members to disclose the collective actions	Goal	At least one activation (post/video) of each Council member per year			

Project Scaling Collective Actions in Local Networks of the Global Compact

Advisory Board Indicators							
Indicator	Details	Weight	Type	1 st Trimester	2 nd Trimester	3 rd Trimester	4 th Trimester
Number of members of the collective actions that have then entered the Action Against Corruption Platform of the Global Compact Network Brazil	Raise the number of Board members in the meetings	35%	Goal	3	3	6	6
Number of company members of the collective actions that have then entered the Global Compact		35%	Goal	1	1	2	2
Number of capacitation efforts on collective actions developed by the Global Compact Network Brazil		20%	Goal	At least one capacitation action per year			
Number of people trained on collective actions by the Global Compact Network Brazil		10%	Goal	At least 100 people capacitated annually			
Final index		100%					

VIII. REFERENCES



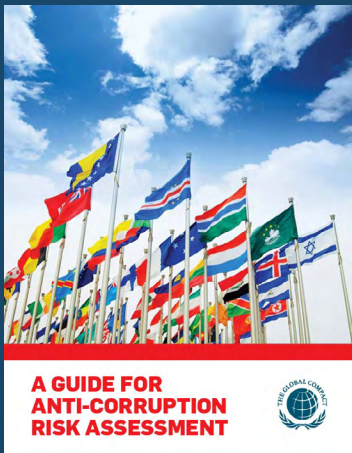
Uniting against Corruption: A Playbook on Anti-Corruption Collective Action



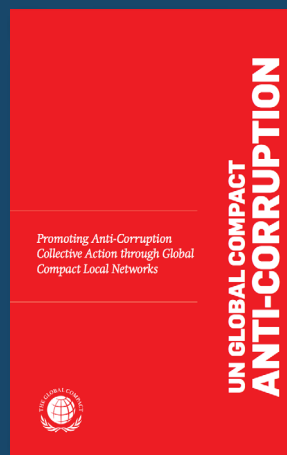
Collective Action in the Fight Against Corruption



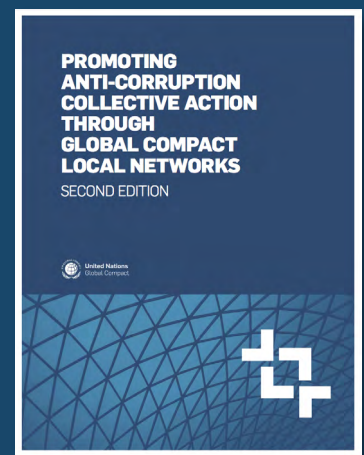
A Practical Guide for Collective Actions



A Guide for Anti-Corruption Risk Assessment | UN Global Compact



Promoting Anti-Corruption Collective Action through Global Compact Local Networks



Promoting Anti-Corruption Collective Action through Global Compact Local Networks – Second Edition

THIS PUBLICATION BY THE GLOBAL COMPACT NETWORK
BRAZIL CONTRIBUTES TO THE ACHIEVEMENT OF
SUSTAINABLE DEVELOPMENT GOALS 16 AND 17



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